

Management of Canada Research Chair Allocations

University of Lethbridge

Standard Operating Procedures

PURPOSE

This document provides guidance and reflects current best practices relative to the management of Canada Research Chair (CRC) nominations and renewals at the University of Lethbridge, as well as other institutional chair competitions and programs administered by the Tri-Agency Institutional Programs Secretariat (TIPS). It is also intended to clarify the roles and responsibilities of internal units and personnel involved in the administration of the CRC program.

OVERVIEW OF THE CANADA RESEARCH CHAIRS PROGRAM

The Canada Research Chairs Program offers eligible Canadian degree-granting institutions the opportunity to nominate outstanding researchers for leading appointments in areas that will further the institution's **strategic research plan** and enable them to maximize their contributions as **centres of research and research training**.

Tier 1 Chairs

Nominees for Tier 1 chair positions must be full professors or associate professors who are expected to be promoted to the full professor level within one or two years of the nomination. Alternatively, if they come from outside the academic sector, nominees must possess the necessary qualifications to be appointed at these levels.

Tier 1 Chairs, tenable for **7 years (\$200,000/year)** and renewable once, are earmarked for **outstanding researchers acknowledged by their peers as world leaders in their fields**.

Tier 2 Chairs

Nominees for Tier 2 chair positions must be emerging scholars. They should, at a minimum, be assistant or associate professors, or possess the necessary qualifications to be appointed to these levels. Tier 2 Chairs must be emerging scholars, normally a researcher who is less than 10 years* from their highest degree at the time of nomination.

Tier 2 Chairs, tenable for **5 years (\$100,000/year)** and renewable once, are for emerging scholars that have the **potential and ability to independently lead a program of research and establish an international reputation** during their five years as a Tier 2 Chair.

*Tier 2 Justification

Applicants who are more than 10 years from having earned their highest degree (and where career breaks exist, such as maternity, parental or extended sick leave, clinical training, etc.) may have their eligibility for a Tier 2 Chair assessed through the program's Tier 2 justification process.

INTERNAL ALLOCATION OF CANADA RESEARCH CHAIRS

The CRC Program sets a specific quota for Canada Research Chairs at each institution. As of August 2017, the University of Lethbridge holds 11 CRC Chairs (ten Tier 2 Chairs and one Tier 1 Chair).

Consult **Appendix A** for the University of Lethbridge Canada Research Chair Utilization spreadsheet.

When a chair position becomes vacant, it is not necessarily reappointed to the same Faculty or Department. At the University of Lethbridge, the internal allocation of new or vacant CRCs is decided by the President, the Provost and Vice-President (Academic), and the Vice-President (Research), and is based on recommendations of the Faculty Deans and alignment with the University's Strategic Research Plan.

On occasion, a vacant or newly allocated CRC position may be assigned directly to an area of strategic priority by the President, the Provost and Vice-President (Academic), and Vice-President (Research), in consultation with the relevant Dean.

Normally, when a CRC becomes vacant or is newly allocated to the University, the following internal allocation process will occur:

Process

1. The Vice-President (Research) will notify the Faculties of the type (Tier 1 or Tier 2) of the available CRC, Tri-Agency affiliation (SSHRC, NSERC, or CIHR) of the available CRC, and any special conditions related to the opportunity.
2. Relevant Faculty Deans will be invited to submit a Letter(s) of Intent.

Letter of Intent: Required Contents

The Letter of Intent(s) should address how the proposed CRC theme will:

- A Align with the goals and directions outlined in the University of Lethbridge's Strategic Research Plan (2017-18 – 2019-20):
 - i. Elevate research, scholarly inquiry, or creative activity
 - ii. Prepare the next generation
 - iii. Enhance community outreach and engagement
 - iv. Support industry engagement, knowledge mobilization or translation
- B Build on an established area of strength or catalyze an emerging research niche. This description should include details on the current environment within the research area at the University of Lethbridge, and consideration of how existing infrastructure and research collaborations on campus could be harnessed to support a CRC in the proposed theme.
- C Align with relevant provincial and national priorities. Contact the relevant Grants Facilitator in the Office of Research and Innovation Services for details of current priorities.
- D Enhance institutional capacity to secure major funding.
- E Include a detailed recruitment strategy that helps the institution meet its CRC equity, diversity and inclusion targets, objectives, and measurement strategies for the CRC's four designated groups: women, visible minorities, persons with disabilities, and Aboriginal Peoples, as well as other underrepresented groups.
- F Provide adequate and equitable institutional support to the candidate.

3. Based on a review of the letters received, the internal allocation of the new or vacant CRCs is decided by the President, the Provost and Vice-President (Academic), and the Vice-President (Research).
4. The Vice-President (Research) will notify the Dean of each Faculty that submitted a Letter(s) of Intent of the decision.
5. If suitable Letters of Intent are not submitted, a new call for proposals may be circulated.

If the search for a candidate fails, the candidate does not accept the position, or a CRC nomination is unsuccessful, the CRC allocation returns to the University. In these cases, the University may (1) subsequently use the allocation for a second candidate search and nomination in the same research area, (2) redirect the allocation to another decanal submission from the same internal call, or (3) decide to allocate it elsewhere by repeating the internal allocation process described above.

CORRIDOR OF FLEXIBILITY

The corridor of flexibility provides universities with a set number of "flexible Chairs". This allows universities to change the tier or the research area (e.g. NSERC, SSHRC, CIHR) of a limited number of their allocations. The use of a flex-move is decided by the President, the Provost and Vice-President (Academic), and the Vice-President (Research), and is based on priorities outlined in the University's Strategic Research Plan.

ENSURING A FAIR AND TRANSPARENT RECRUITMENT PROCESS

Once a proposed theme for a CRC allocation is approved, academic units proposing to recruit and nominate a CRC should first consult the University of Lethbridge [Best Practices for Hiring with a Focus on Diversity & Equity](#).

Job Postings

Recommended best practices for posting nomination calls for CRC positions [is available online here](#).

Jobs must be posted a minimum of 30 days and generally longer. Inclusive, unbiased, ungendered language must be used. Academic units are encouraged to include job criteria requiring that applicants demonstrate a track record related to diversity such as strengths and experiences in increasing diversity in their previous institutional environment, and in curriculum.

As of October 27 2017, the CRC Program "will not accept nominations that do not provide evidence of an openly advertised process" (recommendation A.4 of the [CRC Equity, Diversity and Inclusion Action Plan](#)). **The Office of Research Service will provide current, policy-appropriate language and hiring standards for recruiting CRCs for inclusion in CRC advertisements and recruiting processes to ensure the University is in keeping with CRC program requirements.** A copy of the open job posting must be submitted with all nominations. For these reasons, it is important that the Job Posting be reviewed by the Associate Vice-President (Research) before going live.

Search for Candidates

In keeping with recommendation A.6 of the [CRC Equity, Diversity and Inclusion Action Plan](#), all individuals involved in the CRC recruitment and nomination process will participate in training on the importance of equity, diversity and inclusion within the program.

It is expected that searches will commence approximately one full year in advance of the nomination deadline in order to engage an adequately wide pool of candidates. Proactive engagement with disciplinary associations that represent or conduct outreach on behalf of the four designated groups within the discipline should be conducted in writing as soon as the posting is live, if not before.

Additional information on best practices for the candidate search [can be found here](#).

Hiring Committee

An effort should be made to strike a diverse, inclusive search committee. The VPR Office is now required to comply with and report upon CRCs best practices for hiring with a focus on diversity and equity. For this reason, the Vice-President Research or designate will be involved in the hiring committee.

Each CRC search committee will complete equity training that includes instruction on debiasing. In coordination with Human Resources and the relevant Dean, the committee chair will develop a toolkit for the committee members that includes:

- advice on how to evaluate applications that include non-traditional components (e.g., community-focused research), and a list of internal contacts at the institution who can provide further advice;
- the institution's CRC equity targets, current representation, equity commitment and action plan;
- a list of suggested effective interview questions (as well as a list of impermissible questions);
- accommodation considerations; and
- key steps for making the decision-making process open and transparent.

Interview and Hiring Decisions

Interviews will be conducted in the same manner for each candidate. This includes using the same format for the interview (all face-to-face, or all telephone, for example), the questions asked during the interview, and the same relevant individuals contributing feedback to the committee based on meetings with the candidate during their campus visit. Where this occasions delays or special arrangements, this is to be accommodated.

The search committee Chair will be responsible for providing a written report and all necessary documentation that accompanies the recommendation for the selected nominee. This report should describe the process by which the successful candidate was selected and should include rationales if a qualified member of one of the four designated groups was not successful.

Additional information on [best practices for interviewing and hiring decisions is available here](#).

Documentation of Recruitment Process

As per the [Chairs Administration Guide](#), the Tri-Agency Institutional Programs Secretariat reserves the right to ask institutions to provide documentation attesting that the process used to recruit chairholders was transparent, open and equitable. In accordance with section 11 of the [University of Lethbridge Best Practices for Hiring with a Focus on Diversity and Equity](#), as well as the requirements of the Chairs Administration Guide, a file should be retained with Human Resources for three years from time of nomination that contains the following items for each nomination:

1. a copy of its open announcement (job advertisement), including a statement regarding its commitment towards equity and the participation of members from designated groups;
2. membership details of the hiring committees (indication that the committees or individuals involved in the decision-making process include representatives of the designated groups);
3. the names of senior officials responsible for ensuring the recruitment process was in line with the institution's equity and diversity targets and the program's requirements for an open and transparent recruitment process;
4. a description of equity, diversity and inclusion training provided to individuals who participated in the process (including training on unconscious bias);
5. a description of the role of the equity officer or equivalent official;
6. a description of the strategy used to identify and actively recruit members of designated groups;
7. a description of safeguards put in place to ensure that individuals who experienced career interruptions were not disadvantaged during the nomination process;
8. evaluation criteria and assessment grids;
9. copies of relevant internal policies and guidelines (e.g., equity policies, tenure-track hiring practices/policies, collective agreement or equivalent);
10. a description of the best practices used to collect data on the participation of individuals from the four designated groups (women, persons with disabilities, Aboriginal Peoples, and visible minorities), including a copy of the self-identification form; and
11. a description of how the chairholder is being or will be mentored and integrated within the institution's work environment.

INSTITUTIONAL COMMITMENT AND SUPPORT

When deciding whether to recommend support of a nomination, CRC reviewers assess the institutional **environment**, the institutional **commitment**, and the **fit** of the proposed Chair with the University's Strategic Research Plan. Reviewers are asked to give a global assessment of support based on these factors.

In the nomination application, the university must describe:

- How it and (as applicable) any affiliated institutions, hospitals, institutes, etc., will provide the chairholder with the support they need to ensure the success of their work, such as:
 - protected time for research (e.g., release from teaching or administrative duties);
 - funding for research and training;
 - opportunities for attracting additional resources (including financial and non-financial resources);
 - mentoring;
 - office and laboratory/graduate student space, as applicable;
 - administrative support;
 - hiring of other faculty members
- How these commitments differ from those provided for regular faculty members.

As leading, top-ranked scholars, Chairholders should be offered competitive conditions (salary, research support, infrastructure support, mentorship, etc.), for retention purposes and to demonstrate our commitment to their success.

Letter of Offer negotiations

Normally, the Faculty where the Chairholder will be hired is responsible for preparing the CRC nomination/renewal budget and negotiating with the candidate.

Letter of Offer negotiations (e.g. salary, start-up funds, etc.) with the candidate will take place as per the current practice for any new faculty hires at the University of Lethbridge.

Conditional Offer

The Faculty may choose whether or not to make the hiring conditional upon the success of the CRC nomination application.

Dedicated Research Time

It is an expectation of the Chairs programs that institutions provide chairholders with all the support they need to ensure the success of their work, such as dedicated time for research (e.g., by reducing the teaching load or releasing the researcher from certain administrative duties). While the programs do not stipulate that a certain percentage of dedicated time be provided, many institutions ensure that chairholders are able to devote a minimum of 50 per cent of their work time to research.

Note: the cost of a teaching replacement is an eligible expense except while the chairholder is on leave. At the University of Lethbridge, CRCs are normally offered a reduced course load and reduced administrative duties to protect time for research. This cost can be counted as an institutional contribution.

Dedicated Space

The Faculty and respective Department(s) will identify dedicated faculty- and trainee-office spaces, as well as lab space, if applicable.

Funding from the Chairs program versus Funding from the University

The CRC program provides the University \$200,000 per year (Tier 1 Chairs) and \$100,000 per year (Tier 2 Chairs). The Faculty can decide how much of the CRC funds to allocate to salary versus research-related support. A dedicated research fund will be set up for any CRC funds allocated to research-related support.

Salary Stipend

At the University of Lethbridge, CRCs are normally offered an annual salary stipend for the duration of the term of the award.

Research funding

Research funding includes funds for equipment, materials & supplies, travel, salaries for trainees and technical staff, and other research related expenses that are eligible under the CRC program.

It is expected that CRC budgets will include a competitive start-up funding package and ongoing research support measures through the relevant Faculty and/or CRC funding. The School of Graduate Studies should also be consulted relative to available support measures.

Institutional contributions include access to research funding that is provided to all faculty members, such as professional development allowance and Travel Fund opportunities. These amounts can be included in the CRC nomination budget as cash contributions from the University.

Internal research funds (e.g. University of Lethbridge Research Fund, VPR Strategic Opportunities Fund) are available on a competitive basis and thus should not be included as cash contributions from the University. Nevertheless, they should be described in the Institutional Commitment section of the nomination as existing opportunities.

Overhead/Administrative costs

Although eligible (up to 25%), the University of Lethbridge does not normally recover indirect costs from CRC funds. This should be highlighted in the Institutional Commitment section of the nomination package.

Relocation costs

CRCs will normally be offered support for relocation (moving) costs, if applicable, as per standard University of Lethbridge rates in the hiring of faculty members.

Canada Foundation for Innovation (CFI)

The John R. Evans Leaders Fund enables a select number of an institution's excellent researchers to undertake leading-edge research by providing them with the foundational research infrastructure required to be or become leaders in their field. In turn, this enables institutions to remain internationally competitive in areas of research and technology development, aligned with their strategic priorities.

This fund also offers institutions the opportunity to create competitive research support packages in the form of infrastructure and a portion of the operating and maintenance costs, coupled with direct research costs from partner organizations.

The University has a predetermined envelope for infrastructure applications to the CFI JELF program. Research Chairs, including Canada Research Chairs, should have priority when it comes to CFI allocations. CRC nominees (including those renewing a CRC) should discuss their infrastructure needs and interest in an application to the CFI directly with their respective Dean. The Dean should discuss the availability of allocation for an application to the CFI with the Vice-President Research. The provision of a CFI allocation is an institutional contribution approved by the Vice-President Research.

REDUCTION TO THE UNIVERSITY'S CRC ALLOCATION

The national re-allocation process is conducted by the CRC every two years, includes both regular and special Chairs, and is based on the research grant funding received by the University's researchers from the three granting agencies – CIHR, NSERC and SSHRC – in the three years prior to the year of the allocation.

If the University of Lethbridge performance decreases relative to other institutions to the extent that its Chair allocation is reduced through the re-allocation process, the federal Chairs Secretariat will reclaim the lost Chair allocations. The University of Lethbridge can choose, in consultation with the Secretariat, to give back unoccupied Chairs or to use a deactivation funding mechanism using a sliding scale of decreasing support (100–50–0 per cent) on active Chairs.

At the University of Lethbridge, the President, the Provost and Vice-President (Academic), and the Vice-President (Research), in consultation with the Faculty Deans and with consideration of the University's Strategic Research Plan, decide on the deactivation of a specific occupied CRC position due to a reduction in CRC allocation.

RENEWAL OF CANADA RESEARCH CHAIRS

The "renewal of a chair" refers to the continuation of a current chairholder in the same position at the same institution for an additional term.

The following are not considered renewals, but rather new nominations:

- nomination of a Tier 2 chairholder to a Tier 1 chair;
- nomination of an individual to replace a current or former chairholder;
- nomination of a chairholder at one institution to a Canada Research Chair at another institution; and
- nomination of a current chairholder who has missed their final renewal submission date.

Both Tier 1 and Tier 2 chairs are renewable and must be submitted to the CRC at least six months prior to the end date of the chairholder's term. Tier 1 chairs can be renewed once and are eligible for renewal in their sixth year. Tier 2 chairs can be renewed once and are eligible for renewal in their fourth year.

The renewal of a CRC is not automatic. CRC reviewers assess renewal nominations against the following evaluation criteria:

1. Quality of the chairholder and the proposed research program
2. Quality of the institutional environment, institutional commitment, and fit of the proposed chair with the institution's strategic research plan

In addition, the renewal nomination form includes a performance report that requires the institution to clearly demonstrate how the chairholder has achieved the objectives set out in the original nomination; that the chairholder has upheld the standards of excellence of the CRC program; and what the added value has been of holding a Canada Research Chair at the institution.

Internal Decisions Regarding Renewals

The renewal of a CRC is also not automatic at the institution-level. Prior to submitting a renewal application to the CRC, the chairholder is assessed by the University according to the following criteria:

1. The quality and performance of the Chair relative to the criteria of the CRC (at the Tier 1 or Tier 2 level, as applicable) including:
 - a. The Chair as an outstanding researcher acknowledged by their peers as world leaders in their fields (Tier 1);
 - b. The Chair's potential and ability to independently lead a program of research and establish an international reputation (Tier 2);
 - c. Record of research productivity, impact, external funding, and training;
2. Alignment of the Chair with the University's Strategic Research Plan, including current strategic goals of both the Faculty and the University;
3. Align with relevant provincial and national priorities;
4. Consideration of the University's ability to meet the institution's equity, diversity and inclusion targets for the CRC's four designated groups: women, visible minorities, persons with disabilities, Aboriginal Peoples, as well as other underrepresented groups.

The decision to renew a CRC rests with the President, the Provost and Vice-President (Academic), and the Vice-President (Research), and is based on recommendation by the Faculty Dean and alignment with the criteria described above.

Process

1. Approximately one (1) year before a renewal application is due to the CRC, the Vice-President (Research) will notify the appropriate Dean of the anticipated renewal timeline.
2. The Dean is asked to notify the Vice-President (Research) as soon as possible if the incumbent does not wish to renew the chair position. In such cases, the CRC will become vacant at the end of the term and subject to the internal allocation process described above.
3. In cases of renewal, the Dean will be invited to submit a recommendation to renew the Chair no later than six (6) months before the CRC's renewal deadline. The recommendation should be sent directly to the Vice-President (Research) and include:

Renewal Recommendation: Required Contents

- A. Confirmation that the incumbent wishes to renew the Chair position.
- B. A cover letter from the Dean that provides an assessment of the incumbent's performance, track-record, and anticipated productivity over a subsequent term. This evaluation should address the criteria outlined above.
- C. A copy of the Chair's Annual Progress Reports produced up to the time of recommendation.
- D. A draft performance report written by the incumbent (6 pages maximum). See Appendix B for details. This item should clearly demonstrate how the candidate for renewal has progressed on the goals and objectives of the original proposed research program.
- E. A current CV of the incumbent using the CRC CV guidelines. See Appendix C for details.
- F. A draft description of the proposed research program written by the incumbent (6 pages maximum). See Appendix D for details.

4. In alignment with the CRC Program evaluation criterion, decisions made by the President, the Provost and Vice-President (Academic), and the Vice-President (Research) will take into account and be sensitive to circumstances affecting productivity (such as maternity, parental or extended sick leave, clinical training, etc.). Nominees are encouraged to explain any circumstances that have affected their productivity (if applicable).
5. The Vice-President (Research) will notify the Dean directly of the decision.

6. If the decision is positive, the Dean will prompt the incumbent to work with the Office of Research and Innovation Services to prepare a full renewal application to the CRC.
7. If the decision is negative, the CRC will become vacant at the end of the term and subject to the internal allocation process described above. There is no appeal process.
8. The institutional commitment and support offered to the renewing CRC should align with the INSTITUTIONAL COMMITMENT AND SUPPORT section described above.
9. Upon termination or non-renewal of a CRC award, the incumbent retains full-time appointment at their existing academic rank and salary level, excluding any stipend related to their CRC designated position.

DRAFT

APPENDIX A. CANADA RESEARCH CHAIR UTILIZATION SPREADSHEET

The University of Lethbridge currently holds 11 CRC Chairs, and as such must adhere to the new [Equity, Diversity and Inclusion Public Accountability and Transparency Requirements](#) of the program.

To be eligible for the program, all participating institutions with five or more Chair allocations must clearly publish on their websites, by October 27, 2017, information related to the management of their Chair allocations. This includes the institution's CRC utilization spreadsheet, which outlines how many Chair allocations the institution has, how many are filled and by which chairholders (with their term end and start dates), type of flex moves used and which allocations are available.

| 11 UNIVERSITY OF LETHBRIDGE | | | | | | | | | | | LAST UPDATED BY TIPS: July 14, 2017 | | DERNIERE MISE A JOUR PAR SPIIE: le 14 juillet 2017 | | |
|-----------------------------|-----------------------|---|----------------------|---------|--------|------------------------|-------------------------|-----------|-----------------|---|-------------------------------------|---|--|---|--|
| | | Chair allocations as per: June 2017 | | | | | | | | | | | | | |
| | | Allocation des chaires selon: Juin 2017 | | | | | | | | | | | | | |
| | | | | | | | | | | # Active | Allocation Utilization | | | | |
| | | | | | | | | | | 7 | Total: | 9 | 11 | | |
| Chair # | Allocation by Agency | Utilization by Agency | Name of Chairholder | Type | Cycle | Proposed Start Date | Confirmed Start Date | End Date | Active (Yes/No) | Final Renewal submission date | Tier 1 Niveau 1 | 3 | 1 | Individual Comments | Calculation/Utilization History * |
| # Chaire | Allocation par Agence | Utilisation par Agence | Nom du Canadidat | Type | Cyle | Date de début proposée | Date de début confirmée | De de fin | Active (ou/non) | Date finale - demande de renouvellement | Tier 2 Niveau 2 | 6 | 10 | Commentaires individuels | Historique des calculs/utilisation * |
| 602 | CIHR | CIHR | Under Review | New | 2017-1 | 1-Nov-17 | | | | | | 2 | 2 | | |
| 1387 | NSERC | NSERC | Barrett, Louise | New | 2011-1 | 1-Nov-11 | 1-Jan-12 | 31-Dec-18 | yes | April 2018 | | 1 | 1 | | Flexibility permitted: 5 Flexibility used: 2 1) 485 Split into 2 Tier 2 (NSERC) 2) 1973 Split into 2 Tier 2 (SPECIAL) 3) 4) 5) |
| 485-A | NSERC | NSERC | Wiseman, Steven | New | 2015-2 | 1-Jul-16 | 16-May-16 | 15-May-21 | yes | October 2020 | | 1 | 2 | | |
| 485-B | NSERC | NSERC | Zovollis, Athanasios | New | 2016-1 | 1-Sep-16 | 1-Dec-16 | 30-Nov-21 | yes | April 2021 | | | 2 | | Year 8 calculation: Gain of 2 Tier 1 NSERC: Tier 1 SSHRC: Tier 1 |
| 1388 | NSERC | NSERC | Gonzalez, Claudia | Renewal | 2014-1 | 1-Oct-14 | 1-Oct-14 | 30-Sep-19 | yes | Not applicable | | 2 | 2 | SECOND TERM - NO FURTHER RENEWAL POSSIBLE | Year 2008 calculation: SSHRC: loss of 1 Tier 1 SSHRC T-1 #1205 removed (SSHRC T-1) |
| 1389 | NSERC | NSERC | Spencer, Locke | New | 2012-1 | 1-Jul-13 | 1-Jul-13 | 30-Jun-18 | yes | October 2017 | | 2 | 2 | | Year 2010 calculation Gain of 1 chair: SSHRC Tier 1 |
| | SSHRC | | | | 2010-2 | 1-May-11 | 1-May-11 | 30-Apr-18 | | Not applicable | | | | Lost 2012 re-allocation Apply phase-out mechanism 6 months @ 100% from 10/13 to 03/14 6 months @ 50% from 04/14 to 09/14 | Year 2012 calculation Loss of 1 SSHRC Tier 1 SSHRC Tier 1 # 1820 - apply phase-out mechanism |
| 1821 | SSHRC | SSHRC | | | | | | | | | | 2 | 2 | | Year 2014 calculation No change |
| 1973-A | SPECIAL | SSHRC | Under Review | New | 2017-1 | 1-Jan-18 | | | | | | 1 | 2 | | |
| 1973-B | SPECIAL | SSHRC | Under Review | New | 2017-1 | 1-Jan-18 | | | | | | | 2 | | |
| 1974 | SPECIAL | NSERC | Iwaniuk, Andrew | New | 2013-2 | 1-Jul-14 | 1-Jul-14 | 30-Jun-19 | yes | October 2018 | | 2 | 2 | | |
| 1975 | SPECIAL | SSHRC | Alexander, Kristine | New | 2012-2 | 1-Jul-13 | 1-Jul-13 | 30-Jun-18 | yes | October 2017 | | 2 | 2 | | |

APPENDIX B. PERFORMANCE REPORT

PERFORMANCE REPORT (maximum six pages excluding executive summary [a])

In clear, plain, non-specialist language, the institution must clearly demonstrate how the nominee has achieved the objectives set out in the original nomination, that they have upheld the standards of excellence of the Canada Research Chairs Program, and what the added value has been to the nominee of holding a Canada Research Chair.

- a) Executive summary (maximum 100 words)
 - Highlight the major accomplishments achieved by the chair during the previous term.
- b) Quality of the chair
 - Demonstrate that the nominee continues to distinguish him/herself as an outstanding, world-class researcher (Tier 1); or that they are developing into an outstanding researcher of world-class caliber who is poised to become a leader in their field (Tier 2).
- c) Research program
 - Describe how the nominee has achieved the goals of the original research program.
 - Describe how the nominee has carried out a research program that is producing leading-edge results that are making a significant impact at the international level (Tier 1); or how the nominee has carried out a research program that has produced important results that are making a significant impact in the field
- d) Engagement with research users and communication of results
 - If applicable, describe how the nominee has engaged with research users (e.g., media, academics, industry, government, not for profit and private sector organizations, practitioners, policy-makers, educators, artistic and cultural communities, etc.) during the various stages of their research program (e.g., conception/design of research program, implementation of research program, communication of results, etc.).
 - Describe how the nominee has disseminated their research results during their previous term (e.g., conferences; peer-reviewed publications, monographs and books; copyrights, patents, products and services; technology transfer; creative or artistic works, etc.).
 - Explain how these research results have made a significant impact in their field.
- e) Description of training strategies
 - Describe the training strategies used by the chair to attract excellent students (e.g., doctoral, masters, undergraduate) and trainees to the institution or affiliated institute(s).
 - Describe how the chair has encouraged these student and trainees to develop their research expertise.
 - Describe how the chair has created an environment that attracts, develops and retains excellent students and trainees.
- f) Integration with the institution's strategic research plan
 - Describe any impacts of the nominee's research that support the institution's strategic research plan.
 - Describe how the nominee has helped build relationships with other research initiatives in Canada and abroad.
 - If applicable, describe how the nominee has improved the institution's ability to leverage additional research resources, including financial and non-financial.

APPENDIX C. CV

1) SIGNIFICANT CONTRIBUTIONS

- List the five most significant research contributions that the nominee has made during his/her career. Explain their significance.

2) PUBLICATION CONVENTIONS IN THE DISCIPLINE (One page maximum)

- Forms of research publications/contributions can vary greatly among disciplines. Given that the nomination may be peer reviewed by an interdisciplinary adjudication committee that includes researchers who may not have direct expertise in the nominee's field, clearly explain the publication conventions in the nominee's discipline so as to allow informed assessment of the nominee's research contributions by a variety of experienced researchers.
- Describe:
 - A. the publication conventions in the nominee's discipline(s);
 - B. the choice of venues for the dissemination of the nominee's research results;
 - C. the citation conventions for the discipline(s) (e.g., senior author first in multi-authored publications);
 - D. the publication conventions in the discipline(s) as it relates to students and trainees; and
 - E. the particularities and/or challenges involved in the publication of interdisciplinary or multidisciplinary research results (if applicable).

3) RESEARCH CONTRIBUTIONS (over the last five or seven years, as outlined below)

- Contributions may include: books, chapters of books, articles, monographs, memoirs, special papers, review articles, conference/symposia proceedings and abstracts, patents, copyrights, products, services, technology transfer, creative or artistic works (including individual or collective literary or artistic works such as novels, short stories, poetry, films, videos, visual art, booklets, records, sound creation, collections, exhibition catalogues, etc.), government publications, book reviews by the nominee or published reviews of his/her work, research reports, papers presented at scholarly meetings or conferences, and other forms of written scholarly expression or participation in public discourse and debate that constitute a contribution to research.
 - For published contributions, provide complete bibliographic notices (including co-authors, title, publisher, name of publication, volume, date of publication, number of pages, etc.) as they appear in the original publication.
 - For multi-authored publications, identify any students and trainees that the nominee supervised by underlining their names.
 - Specify the nominee's role in co-authored publications and indicate the percentage of the nominee's contribution to the team effort.
 - For written works accepted for publication or in press, indicate the name of publication, date of acceptance and number of pages, and append the letter of acceptance to the nomination in annexe.
 - For publications submitted or revised and submitted, indicate the name of publication to which they were submitted, date of submission, number of pages and, if available, the manuscript numbers.
 - For publications in languages other than French or English, provide a translation of the title and the name of the publication.
 - For new Tier 2s list your theses.

Note: Do not include published contributions that are in preparation.

CV length based on nomination type

Depending on the type of nomination (as outlined below), the timeframe allowed for the list of research contributions is either five or seven years prior to the deadline for submission of the nomination. For example, a 2014 nomination deadline means that research contributions from as far back as 2009 may be listed, or as far back as 2007, depending on the type of nomination.

- New Tier 1 and Tier 2 nominees: List all research contributions over the last five (5) years.

- Tier 1 renewal nominees: List all research contributions over the last seven (7) years.
- Tier 2 renewal nominees: List all research contributions over the last five (5) years.

Group the nominee's research contributions by category in the following order, with the most recent contributions listed first.

- A. Published refereed contributions, such as: books (where applicable, subdivide according to those that are single-authored, co-authored, and edited works), monographs, book chapters, and articles in scholarly refereed journals.

Note that 'refereed contributions' assumes assessment of the work in its entirety—not merely of an abstract or extract—before publication, and by appropriately independent, anonymous and qualified experts (i.e., assessors who are at arm's length from the author).

- B. Other refereed contributions, such as: conference proceedings, papers presented at scholarly meetings or conferences, articles in professional or trade journals, government publications, etc.
- C. Non-refereed contributions, such as: book reviews, published reviews of your work, research reports, policy papers, public lectures, creative works, papers in conference proceedings, specialized publications, technical reports, internal reports, discussions, abstracts, symposium records, monographs, books or book chapters, conference presentations, government publications, etc.
- D. Forthcoming contributions: Indicate one of the following statuses: "submitted", "revised and submitted", "accepted" or "in press". Provide the name of the journal or book publisher and the number of pages.
- E. Creative outputs: List your most recent and significant achievements (if applicable), grouping them by category.

Creative outputs will be evaluated according to established disciplinary standards, as well as creative and/or artistic merit.

Examples of creative outputs may include, for example, exhibitions, performances, publications, presentations, film, video, audio recordings, etc. If applicable, you may include website links (though the Secretariat cannot guarantee that links will be accessed). If including a website link, please follow these instructions:

- Provide the complete and exact URL and indicate the path to access the intended support material on the website.
- Include a list of up to three works or excerpts of works to which you would like to direct the reviewers (e.g., images, audio, video, written material, etc.). Please provide titles, dates of creation/production, and a brief context for the works presented.
- Ensure that the website and all links involved will be operational up to six months after the application deadline.
- Specify the browser and version that should be used.

Note: The Secretariat assumes no responsibility in cases where links provided are broken or the server is unavailable during the adjudication period.

4) LEADERSHIP

- Provide evidence of international leadership (Tier 1), or of the potential to become an international leader in the field in the next five to 10 years (Tier 2).
 - Describe (if applicable, based on the nominee's career stage) any involvement in broader intellectual leadership activities, such as the stewardship of initiatives at a national or international level that have had an influence or impact that extends beyond the nominee's own institution.
 - If applicable, describe how the nominee has improved the institution's ability to leverage additional research resources (including financial and non-financial resources).

5) TRAINING AND SUPERVISORY EXPERIENCE

- Describe the nominee's role in training students (e.g., doctoral, masters, undergraduate) and other trainees (if applicable).
- Describe the nominee's role in supervising or co-supervising ongoing and/or completed theses at the doctoral, masters and/or undergraduate level.
- Describe the steps the nominee has taken to involve students (e.g., doctoral, masters, undergraduate) in his/her research activities.
- Specify if the nominee's opportunities for such contributions have been limited because the university does not have graduate degree programs in his/her field or discipline. Describe any proactive strategies undertaken in order to make contributions to student training despite these challenges.

6) OTHER CONTRIBUTIONS

- Describe other activities that show the impact of the nominee's work, such as awards, contributions to scientific peer review (membership on peer review committees, external reviews, etc.), consulting, contributions to professional practice or public policy, memberships on committees, boards, or policy-making bodies with government or the private sector, voluntary work, work with or within community or not-for-profit organizations, or work in non-academic positions.

7) CIRCUMSTANCES AFFECTING PRODUCTIVITY

An important evaluation criterion in the Canada Research Chairs Program is the excellence of the nominee. A key factor in assessing this criterion is the research productivity of the individual. The Secretariat acknowledges that certain circumstances may legitimately affect a nominee's record of research achievement.

Nominees are encouraged to explain any circumstances that have affected their productivity (if applicable) in order to allow for a fair assessment of their nomination. Reviewers are instructed to give careful consideration to and be sensitive to the impact of these circumstances when assessing the nominee's research productivity.

Guidelines for explaining circumstances affecting productivity:

- Clearly explain the circumstances that have had an impact on your research productivity.
- Provide an estimate of the amount of time the nominee was taken away from his/her work by the affecting circumstance(s) (e.g., 'one day a week for five months', or 'one month during the year'). If applicable, include the start and end dates of the period in question.
- Provide the dates of all formal leaves taken.

CV length extension provision

Nominees may extend the "Research Support" and "Research Contributions" sections of their CVs if they have taken a formal leave that meet the following conditions:

- the leave(s) must have been for parental leave, extended illness, or the need for the care and nurturing of the chairholder's immediate family members; the employer must have formally approved the leave(s);
- the leave(s) must have occurred within the 10 years prior to the program's nomination submission deadline date; and
- the leave(s) must have been long enough to have had an impact on the nominee's productivity.

Extend these sections of the CV according to the length of the leave, rounded up to the closest full year. For example, a new Tier 2 nominee who had an 18 month leave can extend their CV from the mandatory five (5) years to seven (7) years).

The extension may be applied to more than one eligible leave period. For example, a Tier 2 nominee who had a six month leave in 2014 and an eight month leave in 2015 can extend their CV from the mandatory five (5) years to seven (7) years).

APPENDIX D. PROPOSED RESEARCH PROGRAM

DESCRIPTION OF THE PROPOSED RESEARCH PROGRAM (maximum six pages excluding executive summary [a] and list of references [f])

In clear, plain, non-specialist language, clearly demonstrate that the nominee is proposing an original and innovative research program of the highest quality (Tier 1) or of high quality (Tier 2).

a) Executive summary (100 words maximum)

- Briefly state the explicit objectives of the proposed research program.
- Briefly state the major accomplishments the nominee plans to achieve in a subsequent term as a Canada Research Chair.

b) Context

- Explain what makes the research program original, innovative and of the highest quality (Tier 1) or of high quality (Tier 2).
- Situate the proposed research within the context of the relevant scholarly literature.
- Explain the relationship and relevance of the proposed research to the nominee's ongoing research.
- If the proposed research program represents a significant change of direction from the nominee's previous research, describe how the proposed program relates to experiences and insights gained from earlier research achievements, and, if applicable, how the nominee will achieve the appropriate level of expertise needed to successfully implement the proposal.
- Explain the anticipated contribution of the research program to the existing body of knowledge in the research area.
- Describe the theoretical approach or framework (if applicable).
- Demonstrate how the proposed research will contribute to the attainment of the research objectives outlined in the institution's strategic research plan.

c) Methodology

- Describe the proposed research strategies and key activities, including methodological approaches and procedures for data collection and analysis, that will be used to achieve the stated research objectives.
- Justify the choice of methodology.

d) Engagement with research users and communication of results

- If applicable, describe how research users (e.g., media, academics, industry, government, not for profit and private sector organizations, practitioners, policy-makers, educators, artistic and cultural communities, etc.) will be engaged during the various stages of the research (e.g., conception of research project(s), implementation, communication of results, etc.).
- Describe how the research results will be disseminated (e.g., conferences, peer-reviewed publications, copyrights, products, services, technology transfer, creative or artistic works, etc.).

e) Description of proposed training strategies

- Describe the training strategies that have been and will be used to attract excellent students (e.g., doctoral, masters, undergraduate) and trainees to the university or affiliated institution(s), hospital(s), institute(s);
- Describe how an environment that attracts, develops and retains excellent students and trainees has been or will be created.
- Describe the specific roles and responsibilities of students and trainees and indicate the duties, especially with respect to research, that they will be undertaking and how these will complement their academic training and develop their research expertise.

f) List of references (maximum one page)

- Attach a list of all references cited in the proposed research program. (This is in addition to the six pages allowed for the description of the proposed research program [b through e].)